



# City of Albany

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## Downtown Commercial Energy Efficiency Matching Grant Program



### **Mayor's Office of Energy & Sustainability**

21 Lodge Street

Albany, New York 12207

518-434-2532 ext 35

[www.albanysustainability.org](http://www.albanysustainability.org)

**ENERGY EFFICIENCY & CONSERVATION BLOCK GRANT  
DOWNTOWN BUSINESS ENERGY EFFICIENCY  
MATCHING GRANT PROGRAM  
POLICIES AND PROCEDURES**

**Purpose**

The City of Albany's Energy Efficiency and Conservation Block Grant (EECBG) – Downtown Business Energy Efficiency Matching Grant Program is intended to further the City's effort to become more sustainable by increasing energy efficiency in the business sector. The primary objective of the program is to help fund eligible energy efficiency improvements in order to reduce the overall consumption of energy. The reduction in energy consumption is a benefit to businesses by lowering energy bills and overhead costs. The program employs a public/private partnership approach to provide incentives to owners of buildings to improve the energy efficiency of the buildings through eligible improvements including: insulation, windows, energy star products, HVAC and renewable energy. Funding for this program comes from the American Recovery & Reinvestment Act (ARRA) as part of the EECBG program.

**Eligibility**

In order for a business to qualify for the Energy Efficiency & Conservation Block Grant Business Grant Program, it must meet the following eligibility standards:

1. **Energy Audit**

The subject property will be required to undergo an Energy Audit from a NYSERDA-certified contractor. NYSERDA incentives for audits are available. The energy auditing company will provide copies of the business energy audit to both the business and the City. The City will use its copy of the business energy audit to verify the expenditure and program evaluation. The City will reimburse the business up to \$500 but not more than 50% of the costs of the audit. The energy audit will be used to assist in the evaluation of the effectiveness of the proposed energy efficient improvements.

2. **Eligible Projects.** Eligible projects must be approved by the City prior to any improvements being made. Eligible properties must lie within the City of Albany's corporate boundary and must be an approved licensed business. Applicants will be required to provide proof of ownership or a copy of an executed lease.

Eligible projects include:

- Energy efficiency retrofits including but not limited to the following:
  - Heating: Replacing boilers, central heat pumps, etc.
  - Cooling: Condensers, window units, etc.
  - Lighting: Replacing lamp ballasts, replacing fixtures, reduction in units, passive solar, occupancy sensors, etc.
  - Refrigeration: Air curtains, fan control, snack machine controls, beverage machine controls, LED case lighting, etc.
  - Water Reduction: Low flow faucets, dual-flush toilets, etc.
  - Windows: Repair and Replacement

- Insulation: Adding insulation to roofs and walls to lower heating and cooling losses. This includes painting rooftops white.
- Renewable energy initiatives such as solar, geo thermal, wind energy systems.
- Other measures as approved by City Staff that increase energy efficiency and decrease energy consumption.

*The Downtown Business Energy Efficiency Matching Grant Program will not fund general maintenance and upkeep. The program may not be used by the same applicant to upgrade the same building more than once. The Business must be located within the City of Albany's Central Business District.*

3. **Green Business Program.** Eligible applicants that receive program funds agree to become charter members of the City of Albany's Green Business Program, which is a pledge between the applicant and the City to work cooperatively to green the applicants business and operations. The applicant agrees to participate in Green Business Program activities.
4. **Ownership.** Eligible applicants may be the owner of a commercial or mixed-used building or the owner of a commercial business within the Central Business District. Commercial tenants must provide their lease and written consent from the building owner for all proposed improvements.
5. **Conformance.** All energy efficiency improvements must be in compliance with the Federal Energy Efficiency Conservation Block Grant Program and must receive prior written approval from the City and conform to all building and zoning codes of the City of Albany.
6. **Process.** The applicant shall submit a pre-application for the Downtown Business Energy Efficiency Matching Grant Program to the Mayor's Office of Energy & Sustainability and once approved, a final application. Other permits and licenses are to be submitted to the City of Albany Building Department. The Energy & Sustainability Office will review the applications and supporting documentation. Upon verification of the business's eligibility and submission of all necessary documentation, the Director of the Office of Energy & Sustainability may approve the application.

Applications will be reviewed and awarded on a rolling basis and approved according to the following criteria:

- **Energy Saved** - Applicants are asked to provide 12 consecutive months of past utility usage and project the reduction in utility usage after the scope of work is completed.
  - **Jobs Created/Retained** - Applicants are asked to identify the proposed hours necessary to complete the scope of work funded through this program.
  - **Matching Funds** - Applicants are highly encouraged to solicit grants and matching funds from other sources, including but not limited to NYSEDRA and National Grid. Applicants must contact these companies and/or agencies directly for their application requirements.
  - **Application Completeness** - Applications that are incomplete or missing required information will not be reviewed until complete.
7. **Availability of Funds.** This grant program is subject to the availability of funds. Funds are awarded on a first-come, first-serve and case-by-case basis. The City reserves the right to

grant partial awards based upon funding availability. The City reserves the right to withhold funds until all requirements are met. If the energy audit is not performed within 45 days of the application approval, the City reserves the right to discontinue the reservation of the funds for the project. **The City of Albany, at its sole discretion, reserves the right to decline applications or dismiss program participants for any reason. The program will close without notice when funding is exhausted.**

**Grant Amount & Structure.** If the City deems it necessary and appropriate, a grant may be made available, which grant shall be structured as follows:

1. The City will grant up to 50% of the total project cost.
2. This is a reimbursement program and grant funds will be disbursed upon submittal of required documentation and completion and inspection of the improvements.
3. Grant funds must be expended by October 1, 2012.

### **Procedural Requirements**

In order to qualify for the Local Business Energy Efficiency Matching Grant Program, the property owner or representative must complete the application, and must be prepared to comply with all applicable regulations. *The Office of Energy & Sustainability will review all plans submitted for funding under the program.*

An applicant may be required to meet with the Office of Energy & Sustainability for advice and technical assistance. The attached “Instructions to Applicants” are to be followed when applying for the Local Business Energy Efficiency and Matching Grant Program. The applicant will submit an application, accompanied by plans, and a cost estimate from a contractor for the proposed energy efficiency improvements. All improvements shall comply with all Federal, State, and Local regulations. **Any improvements made prior to approval of the application and execution of the agreement will be ineligible.**

**Additional information may be requested from:**

Mayor’s Office of Energy & Sustainability  
City of Albany  
21 Lodge Street  
Albany, New York 12207  
Phone: 518-434-2535 ext 35  
Web Site: [www.albanysustainability.org](http://www.albanysustainability.org)

## Downtown Business Energy Efficiency Matching Grant Program

### Procedure

1. The applicant submits a complete pre-application to the Office of Energy & Sustainability.
2. After review and approval, the Office of Energy & Sustainability will issue a Certificate of Eligibility to the applicant.
3. Upon receipt of the Certificate of Eligibility, which will outline funding eligibility and any conditions or contingencies, the applicant should complete the following:
  - i. The applicant completes the application w/ final plans and three (3) bids from *qualified Albany contractors, when possible*, specifying which of the contractors the applicant wishes to employ.
  - ii. The Building Department will review the final plans for issuance of any necessary building permits. The applicant must submit a separate building permit.
  - iii. Contractors must utilize American Made products and meet Davis Bacon Wage Requirements.
  - iv. The Davis Bacon Act requires that each contract over \$2,000 to which the United States or the District of Columbia is a party for the construction, alteration, or repair of public buildings or public works shall contain a clause setting forth the minimum wages to be paid to various classes of laborers and mechanics employed under the contract. Under the provisions of the act, contractors or their subcontractors are to pay workers employed directly upon the site of the work no less than the locally prevailing wage and fringe benefits paid on projects of a similar character.

Accordingly, contractors and subcontractors must ensure that any laborers and mechanics employed on projects funded or assisted in whole or in part by Recovery Act funds are paid prevailing wages as determined by the Secretary of Labor for construction, alteration, and/or repair (including painting and decorating). All recipients and contractors that use their own employees to perform this work, must also pay their own employees performing the work of laborers and mechanics the DBA prevailing wage rate. If the entity receiving Recovery Act assistance for such projects contracts out the work, it must ensure that the DBA requirements flow down to the entities that employ the laborers and mechanics to do the work. In addition, Grantees/subgrantees and contractors/subcontractors on these projects funded or assisted in whole or part by Recovery Act funds shall maintain payrolls and basic records relating to payroll during the course of the work and preserve them for a period of three years thereafter for all laborers and mechanics working on the project, or as designated in the grant document. **They must also ensure that all laborers and mechanics on a project funded or assisted in whole or part with Recovery Act funds are paid on a weekly basis and must submit weekly certified payroll records to the contracting and administering**

**agency.**

- v. Any necessary EECBG or SHPO requirements.
- 4. For eligible energy conservation rehabilitation work, construction may commence after a building permit has been issued.
- 5. The Building Department will inspect the site during construction and upon construction completion to assure conformance with the Energy Efficiency plans submitted.

**Additional information may be requested from:**

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## **BUSINESS GRANT PROGRAM**

### **STEPS IN THE GRANT PROCESS**

<b>Step</b>	<b>Process</b>
1	Submit Pre-Application
2	Obtain Approval to Participate
3	Submit Application
4	Engage Professional Energy Audit
5	Provide Audit to the City
6	List Energy Efficiency Improvements Proposed and Costs
7	Submit and Sign Grant Documents
8	Bid the Project Albany Contractors (When Available) Purchase Albany Supplies (When Available)
9	Obtain Approval of the Bid
10	Obtain Building Permit
11	Commence Construction
12	Submit for Disbursement of Funds
13	Final Inspection of Improvements

Application # \_\_\_\_\_

**ENERGY EFFICIENCY & CONSERVATION BLOCK GRANT  
DOWNTOWN BUSINESS ENERGY EFFICIENCY  
MATCHING GRANT PROGRAM PRE-APPLICATION**

**I. Applicant is (Circle One)**                      Tenant                      Owner

**Grant Applicant Name:** \_\_\_\_\_

**Name of Business:** \_\_\_\_\_

**Business Owner:** \_\_\_\_\_

**Address of Business:** \_\_\_\_\_

**Email address:** \_\_\_\_\_

**II. Name of Building Owner(s):** \_\_\_\_\_

**Address of Owner(s):** \_\_\_\_\_

\_\_\_\_\_

**Owners' Phone (work):** \_\_\_\_\_

**Owner's Fax (Work):** \_\_\_\_\_

**Owner's Email address:** \_\_\_\_\_

**IV. Description of Business: (Include type of operation and number of employees.)**

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**V. Written Project Description:**

Please describe your proposed Energy Efficiency project and all the proposed improvements. Please include specifications for all improvements proposed. Please utilize Exhibit A Utility Usage Projection/Equipment Specification Sheet to list the equipment



(name and model number, etc.) that is being purchased and its projected lifespan in years. Please include any product literature specifications, brochures, etc. that would be helpful in evaluating your application. Identify the proposed hours to complete the scope of work funded through this program, as well as any jobs retained. Attach additional sheets, if needed.

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**VI. Total Square Footage:** \_\_\_\_\_

**VII. Number of stories:** \_\_\_\_\_

**VIII. Approximate Age of Building in years:** \_\_\_\_\_

**VIII. Required Documentation for Submittal**

**A. Utility Bill History/Usage Worksheets:**

All applications must provide a summary of energy usage based upon the most recent 12 months utility bills and provide the City with projected energy savings and costs over the year following installation of the improvements. **Exhibit A**, the Utility Usage Projections/Equipment Specification Sheet, may be used to calculate project energy and cost savings. A report prepared in the required professional energy audit may serve as a substitute for the worksheets. The following information must be provided in the professional energy audit.

**B. Schedule Information:**

A proposed schedule must be provided including the following:

Anticipated Start Date: \_\_\_\_\_

Anticipated Project Completion Date: \_\_\_\_\_

**C. Follow-Up Report**

All the recipients of grant funds will be required to provide the City with a one year follow-up report to determine the actual energy consumption provided in **Exhibit B**.

**The applicant (undersigned) agrees to comply with the procedures of the Energy Efficiency & Conservation Block Grant and Business Grant Program.**

**The applicant further understands that the applicant must submit detailed cost documentation, copies of building permits and all contractor's waivers of lien upon completion of work.**

**The applicant agrees to become a charter member of the City of Albany Green Business Program.**

**The applicant, owners and all contractors must comply with all federal, state and local regulations.**

**I understand the cost of the energy audit is the responsibility of the business and is not eligible for the energy efficiency and conservation grant program.**

This application for the Energy Efficiency & Conservation Block Grant Business Grant Program is hereby believed to be complete and accurate.

By: \_\_\_\_\_  
(Name of Owner)

By: \_\_\_\_\_  
(Name of Tenant)

**STATE OF NEW YORK    )  
COUNTY OF ALBANY    )  
CITY OF ALBANY    )**

The foregoing petition was acknowledged before me by \_\_\_\_\_ on the \_\_\_\_\_  
[Name of Notary]  
day of \_\_\_\_\_, 20\_\_\_\_.

By: \_\_\_\_\_  
Notary Public

Application to be returned to:

Mayor's Office of Energy & Sustainability

City of Albany

21 Lodge Street

Albany, New York 12207

Phone: 518-434-2535 ext 35

Web Site: [www.albanysustainability.org](http://www.albanysustainability.org)

CONFIDENTIAL

Application # \_\_\_\_\_

**ENERGY EFFICIENCY & CONSERVATION BLOCK GRANT  
DOWNTOWN GRANT PROGRAM APPLICATION**

**Business Information**

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**I. Applicant is (Circle One)**

Tenant

Owner

**Grant Applicant Name:** \_\_\_\_\_

**Name of Applicant Business:** \_\_\_\_\_

**Business Address:** \_\_\_\_\_

**City, State, Zip Code:** \_\_\_\_\_

**Phone (work):** \_\_\_\_\_

**Fax (Work):** \_\_\_\_\_

**Email address:** \_\_\_\_\_

**Description of Business:** \_\_\_\_\_

**Number of Employees:** \_\_\_\_\_

**Year Established:** \_\_\_\_\_

**Business Bank Name:** \_\_\_\_\_

**Checking Balance:** \_\_\_\_\_

**Gross Sales Revenue:** \_\_\_\_\_

**Federal Tax ID Number:** \_\_\_\_\_

**City Business License #** \_\_\_\_\_

**Type of Business Entity:**

(Circle One)  
Sole Proprietor  
Corporation  
General Partnership  
Limited Liability Company  
Limited Partnership  
Non Profit  
Other:

**II. Name of Building Owner(s):** \_\_\_\_\_  
(If different from address above)

**Address of Owner(s):** \_\_\_\_\_

**City, State, Zip Code:** \_\_\_\_\_

**Owners's Phone (work):** \_\_\_\_\_

**Owner's Fax (Work):** \_\_\_\_\_

**Owner's Email address** \_\_\_\_\_

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**Business Debt****III. Business Debt:**

Please include all term grants, credit lines, commercial mortgages, credit cards used for business.

Bank/Creditor	Term/Line	Current Balance	Amount of Line	Monthly Payment	Type of Collateral

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**Personal Information****IV. Personal Information:**

Please provide the following information on all owners who own 20 percent or more of the business.

First Name	Middle Initial	Last Name
Social Security Number	Date of Birth	% Ownership
Address	City/State	Zip Phone
\$	\$	
Monthly Mortgage (PITI)/Rent	Total Other Monthly Payments	Bank Name

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**Insurance**

**V. Insurance**

Please attach a copy of each of the following:

- Current Title Insurance on the property
- General Liability Insurance
- Commercial Property Insurance

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**Project Description**

**VI. Project Description**

Please provide your proposed project improvements including a timeline. Include any product literature, specifications, brochures, etc. that would be helpful in evaluating your application.

## Energy Usage and Cost Savings

## VII. Energy Usage and Cost Savings \*

Complete the chart below using the last 12 months of utility bills information and project projections.

	Usage			Cost		
Energy Type	Annual Usage	Projected Annual Usage	Projected Usage Savings	Annual Cost	Projected Annual Costs	Projected Cost Savings

\* Attached copies of relevant energy bills to validate usage.

Budget	
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## VIII. Budget

Specific Project Costs	Life Span If Equipment	Current Budget	Revolving Grant Request
<b>Total Project Costs</b>			

**Please list the funding sources for the project other than the grant:**

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The applicant must demonstrate that they have proof of financing for 75 % of the improvements

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## Energy Audit

### IX. Energy Audit

A Professional Energy Audit is required. The City will reimburse the business up to \$500 but not more than 50% of the audit costs. Please attach the energy audit to the application.

A report prepared in the required professional energy audit may serve as a substitute for the worksheets. The following information must be provided in the professional energy audit.

- Type of Energy (i.e. electricity, gas, etc.)
- Current Annual Usage
- Projected Annual Usage
- Projected Annual Savings

#### **The Itemized Project Activity Estimate:**

Once the energy audit is complete, the City of Albany will provide authorization to obtain bids for qualified energy improvements. **Exhibit C** will be completed by the applicant which will list 3 estimates for the proposed project improvements in each category.

#### **Detailed Contractors Estimate:**

Please provide detailed contractors estimates and additional sheets with supporting information.

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## Statement of Understanding

### X. Statement of Understanding

- A. The applicant (undersigned) agrees to comply with the procedures of the Energy Efficiency & Conservation Block Grant Program.
- B. The applicant further understands that the applicant must submit detailed cost documentation, copies of building permits and all contractors' waivers of lien upon completion of work.
- C. The applicant, owners and all contractors must comply with all federal, state and local regulations.

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## Credit Check Authorization and Certification

### XI. Credit Check Authorization

The City of Albany, New York is authorized to make whatever credit inquiries that they may deem necessary in connection with this application for a grant, or in the course of reviewing or administering the grant as issued in the connection with this application. The undersigned authorizes any person or reporting agency to compile and furnish to the City of



Albany any information requested by the City in connection with the application. Any such information furnished to the City by any person or any reporting agency shall remain the property of the City whether or not the City approves this application.

The undersigned warrants that the information provided has been read and is true, correct, and complete, and the City may consider this statement as continuing to be true, correct, and complete until a notice of change is provided by the undersigned to the City. This document has been duly authorized by the governing body of the applicant.

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Printed Name

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Title

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Contact Phone Number

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Contact Email Address

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Signature

**XII. Submit Application to:**

Application to be returned to:  
Mayor's Office of Energy & Sustainability  
City of Albany  
21 Lodge Street  
Albany, New York 12207  
Phone: 518-434-2535 ext 35  
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## EXHIBIT A

### UTILITY USAGE PROJECTION/EQUIPMENT SPECIFICATION SHEET

**A. Energy Types:** List the Type(s), Cost (\$) and Current and Project Annual Usage of Energy (electricity, gas, etc.)

<u>Type of Energy</u>	<u>Current Annual Cost</u>	<u>Projected Annual Usage</u>	<u>Projected Annual Savings</u>
<hr/>	<hr/>	<hr/>	<hr/>
<hr/>	<hr/>	<hr/>	<hr/>
<hr/>	<hr/>	<hr/>	<hr/>
<hr/>	<hr/>	<hr/>	<hr/>
<hr/>	<hr/>	<hr/>	<hr/>
<hr/>	<hr/>	<hr/>	<hr/>
Total:			<hr/>

## EXHIBIT B

**B. Equipment:** List the equipment (name, model number, etc.) that is being purchased and its projected lifespan in years. Include any product literature, specifications, brochures, etc. that would be helpful in evaluating your application. Please use additional sheets if needed.

<u>Equipment</u>	Lifespan <u>(years)</u>
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

EXHIBIT C  
CONTRACTOR ESTIMATES

	Total Site Improvement Costs	Grant Eligible Project Costs
<b>Estimate 1</b>		
<b>Contractor Name:</b>		
<b>Estimate 2</b>		
<b>Contractor Name:</b>		
<b>Estimate 3</b>		
<b>Contractor Name:</b>		

DBA Name: \_\_\_\_\_

I, the undersigned, hereby swear and affirm that I am the applicant for the grant program requested in the foregoing application, that I am of good repute, character and standing and that the answers to the questions asked in the foregoing application are true and correct.

I further understand that any untrue, incorrect, or misleading information provided in this application is sufficient cause for the refusal to grant the business grant for the energy efficiency improvements.

I further give my permission to the City of Albany or any other agency of the City to check with any agency or individual named or referred to in this application to verify or clarify any information I have provided in this application.

\_\_\_\_\_  
Signature of Applicant

\_\_\_\_\_  
Print Name

\_\_\_\_\_  
Title